

Lobbyist Reminders

- **Lobbyist Renewal** was due Jan 5th, 2016. If lobbying, must register within five days of beginning lobbying activity.
- **Verify current registration** info by logging-in to [lobbyist e-file](#) system.
- **List of Principals and Legislative Action Report:** This report is filed twice each year due on March 15 and May 30 and filed with MEC. Include general description of proposed legislative action which the lobbyist (or lobbyist principal) supported or opposed.
- **FAQ: What is a lobbyist expenditure?** Money spent for a public official, their staff, family or for a group. See [Lobbyists FAQs](#) for more information.

Are you required to file a PFD?

Annual Filers:

If your name was submitted to our office by a political subdivision (county, city, school district, fire district, etc.) as a person required to file a Personal Financial Disclosure (PFD) due to a position held in 2015, then you must file your PFD by **5:00 pm on May 2, 2016**. The statutory due date is May 1, however, since that date falls on a Sunday the due date is extended to Monday, May 2nd. Annual filers must file for each year (or portion of a year) for which they hold a position that requires the filing of a PFD.

Letters with instructions for e-filing along with your MEC Online ID and Password to [e-file](#) were sent earlier this month.

If you fail to file by May 2, 2016, you will be assessed a late filing fee of \$10.00 per day. After 30 days the fee increases to \$100.00 per day, not to exceed \$6,000.00. Additional penalties may also apply.

The time period covered on the PFD for an annual filer is Jan. 1st, 2015-Dec 31st, 2015*.

Candidate Filers:

If you are required to file a PFD due to the office you are seeking in the April or August elections, then you must file your PFD **by an earlier due date**. The due date for the April election is Feb. 2, 2016. Failure to file by this date will result in late fees, failure to file by Feb. 9, 2016, will result in disqualification and removal from the ballot, unless your subdivision has a conflict of interest ordinance or policy on file with the MEC. If filing deadlines are then not met, penalties (if any) are assessed by the subdivision according to its ordinance.

*Time period covered for an incumbent candidate, or candidate who is also an annual filer, is Jan. 1, 2015—Jan. 19, 2016 for candidates in the April election and Jan. 1, 2015—Mar. 29, 2016 for candidates in the August election.

Time period covered for a new candidate, or candidate who is not also an annual filer, is Jan. 19, 2015—Jan. 19, 2016 for candidates in the April election and Mar. 29, 2015—Mar. 29, 2016 for candidates in the August election.

Inside this issue:

- Lobbyist Reminders
- PFD Filing Requirements
- Paid for By Requirements
- Campaign Finance Tips
- MEC Employee Spotlight
- Ballot Measure: Use of Public Funds

Paid for By Requirements

Any pamphlet, circular, handbill, sample ballot, advertisement including newspaper or other periodical advertisement, sign including signs for display on motor vehicles, or other imprinted or lettered material relative to a candidate or ballot measure must contain the proper **"Paid for By"** information.



See the Commission's brochure, [Campaign Material Identification Requirements](#) (Paid for by disclaimer) and [tutorial](#) for the proper disclaimer. Also find information on what might be excluded from this requirement.

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Campaign Finance Tips

- A committee that is not required to register with the MEC and only required to [register](#) with the local election authority (county clerk or board of election commissioners) must register and file all reports with the local election authority on paper forms. Such committee has the option of registering with the MEC and filing reports electronically, but is not required (unless the committee receives a single contribution, loan, or anything of value in excess of \$5,000).
- [Candidate Central](#) has a useful [Committee Checklist](#) including steps for forming and registering a committee
- Ensure the official committee email address is up to date with the MEC. Reminders and other communications are sent by the MEC to this address.
- All committees receive email reminders of upcoming reports due for each election in case a committee makes a contribution or expenditure to support or oppose a candidate or ballot measure in that specific election. The committee may have to file a report with the MEC or the local election authority.
- When importing itemized contributions or expenditures for a report in the Campaign Finance electronic reporting system, refer to the Help and Hints on the import page for specifications and templates.

MEC Employee Spotlight

Alex Herigon: Employee of the Quarter

In his role as **Information Technologist II**, Alex has been the only developer in the office, having to take on all responsibilities of new development as well as fixes and changes to existing applications. This has required Alex to become very familiar with all our applications in a short period of time.

Alex was responsible for rollout and bug fixes on the new MEC website which was very time consuming during the first few weeks. He has worked on PFD reports and intranet pages, SQL data requests, assisted outside users and internal staff with filing and various questions all while working on completing the committee transfer pages for the new campaign finance intranet. As one person has said, he is becoming a key "go to" person for staff. Way to go Alex!

Ballot Measures: Use of Public Funds

Is your jurisdiction placing a question on the ballot?

If your public body anticipates putting a ballot measure before the voters in 2016, please be aware of Section 115.646, RSMo. That law provides that:

No contribution or expenditure of public funds shall be made directly by any officer, employee or agent of any political subdivision to advocate, support, or oppose any ballot measure or candidate for public office. This section shall not be construed to prohibit any public official of a political subdivision from making public appearances or from issuing press releases concerning any such ballot measure.

How to:

Search "Use of Public funds" decisions

1. Go to the [MEC website](#)
2. Choose [Commission Business](#) at the top of the page.
3. At the very bottom of the Commission Business page click [Commission Actions](#)
4. Click **Advanced Search** (the third gray tab on the right)
5. Go to **Step 3** and select Complaint Category, Use of Public Funds
6. Click **Search**

🔗 Click [HERE](#) to view Frequently Asked Questions (FAQ's) regarding Commission actions.

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MEC News

Missouri Ethics Commission
James Klahr, Executive Director

VOLUME 30

April 2016

Meet Commissioner Summers

The Missouri Ethics Commission is pleased to announce that Don Summers was recently named our newest Commissioner.

Don has previous experience in state government, having served as a Representative from District 2 (Adair, Putnam & Sullivan counties) from 1994 to 2000.

From 2005 to 2008, Don worked as both Legislative Liaison and Ombudsman for the Department of Natural Resources. He currently runs a farming operation in Putnam County.

His term ends March 15, 2020.

Welcome

Have you filed your PFD?

Candidates in August 2nd Primary

File by Tuesday, April 19th to avoid possible disqualification.

Annual Filers: May 2nd deadline is fast approaching!

If your name was submitted to our office by a political subdivision (ex: state agency, county, city, board, school district, etc.) as a person required to file a Personal Financial Disclosure (PFD) statement because of a position you held in 2015 with that subdivision, then you must file your PFD by **5:00 pm on May 2nd, 2016** (or post-marked by April 30th, 2016). Time period covered is from Jan 1st, 2015 - Dec 31st, 2015 (or portion of year that you served).

Political Subdivisions:

Is your contact information up to date? If not, log in and update.

Check Status of your filers:

- Go to [our website](#).
- Log in to the [Political Subdivision Filing System](#) (use your subdivision log in information. HINT: your MEC Online ID begins with the letter "S").
- Select the "Filer Status" GO button and view each filer's status. Verify that your designated required filers have submitted their PFD.



E-File your PFD

1. **Complete [PFD E-Filer Account Request](#).**
2. Upon receipt of your MEC Online ID & Password (sent to the email address provided), **log-in** to the **[PFD E-Filing System](#).**

📄 See [PFD Flyer](#) for more info.

Inside this issue:

Meet Commissioner

Have you filed your PFD?

Lobbying Report Due

Training Information

MEC Employee Spotlight

Campaign Finance
Disclosure Reminders

Lobbying Report Due

List of Principals & Legislative Action—Due May 30th

Avoid these common reporting errors:

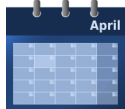
- Only one report is required per principal; any one of multiple lobbyists that are registered to lobby on behalf of a principal may report for that principal.
- Must include general description of the proposed action.
- Report includes the lobbying of any action by an official agency, board or commission of state government (ex: if lobbying the head of a state agency, that action is reportable).

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Training Information

Is your organization, association, or political subdivision having a meeting or conference? The Missouri Ethics Commission can conduct trainings or present on topics such as conflict of interest, use of public funds, personal financial disclosure, and campaign disclosure requirements.

To schedule, send a request to: training@mec.mo.gov



View upcoming MEC [Candidate Training](#) and [Webinars](#)



MEC Employee Spotlight

Judy Grothoff: Employee of the Quarter

Our MEC Reporting Clerk, Judy, has served the Commission for twelve years. Regarded as highly dependable, Judy has the knowledge and skill to assist in several areas of the Commission. While short-staffed in early 2016, Judy's work was appreciated by MEC staff, as well as, those who called in for assistance. Outstanding job, Judy!

New Commission Staff

The Commission Welcomes two new employees. Jennifer Griffin was recently hired as a new Investigator in the MEC Compliance Section and will ensure ethics laws are being adhered to by investigating complaints filed with MEC.

As a newly hired Information Technologist I, Bryan Mantle, will create, modify and test applications used by any of MEC's required filers, as well as, make updates to the MEC website to assist Commission website visitors.

Campaign Finance Disclosure Reminders

April 15th Quarterly Report Due Today. All committees must file quarterly reports no later than the 15th day following the close of each calendar quarter. View reporting deadlines for August 2 Primary Election in the [Upcoming Filing Deadlines and Reminders](#).

Successful candidates must file **30 Day After Election Report** (if have expenditures or contributions made) **BEFORE** being sworn-in. Time period is from day after last report closed through the day before the swearing-in.

Payments to **campaign workers** must be itemized, regardless of the amount. A campaign worker is someone that you hire to assist with your campaign activities (does not include unpaid volunteers).

Business cards used for campaign purposes are considered printed material, see [Campaign Materials Identification Requirements \(Paid-for-by\) Brochure](#).

The **48 Hour Report of Contribution of \$5,000** is required for a contribution (including a loan) received over \$5,000. It must be filed within 48 hours of receipt and filed electronically. Local filers filing on paper with their local election authority need to register committee, establish e-filing account with MEC and file the report, within 48 hours to avoid late fees.

To aid in recording and importing contributions and loans received, itemized expenditures all over \$100, and contributions made, filers can use the **Import Function** in the e-filing system.

View [Import Function Tutorial](#) and [Import Specifications](#). Download [Excel Template](#).

Aug 2, 2016 Primary Election

Personal Financial Disclosure

- Due 3/29/16
- After 4/12/16 - late fees at \$10/day
- After 4/19/16 - late fees, disqualification & removal from ballot

Forming a Committee

- PAC form by 06/03/16
- Other committees form by 07/03/16

April Quarterly

(Due if committee formed before 03/31/16)

- Close 03/31/16
- Due 04/15/16

40 Day Before*

- N/A

July Quarterly

- Close 06/30/16
- Due 07/15/16

8 Day Before**

- Close 07/21/16
- Due 07/25/16

★ 08/2/16 Election Date

30 Day After***

- Close 08/27/16
- Due 09/1/16

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Campaign Finance: Tips and Reminders

- **The 48 Hour Report of Contribution over \$5,000** is for a single contribution or loan received in an amount over \$5,000 from a single contributor at one time, not multiple contributions or loans that total over \$5,000
- **Campaign Signs** from a prior election can be reused. Record and report as an in-kind contribution received and assign a fair market value. As long as the proper paid for by disclaimer was correct when the signs were paid for, they can be used with no changes.
- **Unopposed Candidates** in the August 2nd primary, must still keep track of all contributions received and expenditures made for that election. Remember, if the thresholds for forming a committee, specific to your candidate type, have been met, you must form a committee.
- **View [Deadlines & Reminders for Aug. 2nd & Nov. 8th, 2016 Elections](#)**, for additional reporting requirements, including the reports required to be filed within 24 or 48 hours.

**24
HOUR**

Late Contribution Report (Committees) Receipt of any contribution (or loan) > \$250 between July 22 – August 1; must be reported within 24 hours of receipt, by any written means and also reported on the committee's next subsequently filed full disclosure report (§130.050.3)

Late Expenditure Report (PACs): A continuing committee (PAC) between July 22-Aug 1, making total expenditures other than contributions to a committee of \$250 or more must file a 24 Hour Late Expenditure Report within 24 hours after making the expenditure (§130.046.3(2))

July Quarterly Report:

Due July 15th

Report through June 30th.

AUGUST 2ND ELECTION REPORTS DUE:

8 Day Before Election Report*:

Due July 25th

Report activity through
July 21st.

30 Day After Election Report*:

Due Sept. 1st

Report activity through
Aug. 27th.

* Only Required if made
contributions or
expenditures (spent or
incurred money) for the
election.

Meet Commissioners Benjamin and Ratermann

Kim Benjamin is a trial attorney at the Benjamin Law Firm, LLC, in Belton, Cass County, MO and is originally from Harrisonville. She attended undergrad at Mizzou and law school in Washington, DC. She is active in her legal community by being on the faculty of the Gerry Spence Trial Lawyers College in Wyoming, on the Board of Directors for the Missouri Association of Criminal Defense Lawyers, and most recently as a volunteer for the Cass County Youth Court. Her term ends March 15, 2020.

Welcome

George Ratermann was appointed to the Commission in May 2016. George resides in Oakville in South St Louis County with his wife Jo Ann. They have two adult children and three granddaughters. George is a retired St Louis Metropolitan Police Department officer where he did crime scene investigations. George is also retired from the US Army Reserve and was a Security Police Officer for the National Geospatial-Intelligence Agency for 5 years. George is looking forward to serving on the Commission. His term ends March 15, 2020.

For a full list of Commissioners see the "[Meet Our Commissioners](#)" section of our website.

Inside this issue: **PAGE ONE** - Campaign Finance Tips & Reminders, New Commissioners
PAGE TWO - AOB, Employee Spotlight, Late Fees, Contact Us

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MEC Employee Spotlight

Melissa Johnson: Employee of the Quarter

Once a quarter, MEC staff have the opportunity to nominate and recognize one of their own as Employee of the Quarter. MEC Paralegal, Melissa Johnson's caseload requires her assistance with obtaining documentation to finalize legal cases. It is her work outside of the routine course of her duties that led to Melissa's nomination. Her work "above-and-beyond" has saved the Commission time and resources. Such behavior shows the dedication Melissa has to the MEC and making the "team" work. Well done Melissa!

Tips & Reminders

Personal Financial Disclosure

Annual Operating Budget (See E-File AOB) →

In order to identify persons required to file a Personal Financial Disclosure (PFD) statement, political subdivisions must confirm whether their Annual Operating Budget (AOB) is:

- Over \$1 million; or
- \$1 million or under

Conflict of Interest Ordinance/Resolution

If you do not adopt (or re-adopt) a conflict of interest ordinance or resolution, ALL elected, appointed, and decision making personnel, as well as candidates, are required to file a PFD.

If you do adopt a new ordinance (or re-adopt your current ordinance), the deadline is **Sept 15th**. The ordinance must be adopted (or re-adopted) every two years at an open meeting. A certified copy must be mailed to MEC within 10 days of the adoption (or re-adoption).

See [§105.485 RSMo](#) for minimum ordinance requirements. In addition to the minimum requirements, consider including the following:

- Penalties for late filing, failing to file or follow ordinance, etc.
- Filing requirements for candidates.

E-File: AOB

Now through Monday August 8th, go to our [website](#) and:

1. **Log in to the [Political Subdivision E-filing System](#)**

(use your political subdivision's log-in information)

2. **Update** subdivision contact information (if necessary)

3. **Confirm** your AOB (you will receive email confirmation)



Provides political subdivisions with an overview of their yearly PFD requirements with the MEC in calendar format.

View : [YEAR AT A GLANCE](#)

Late Fees

- Failure to file campaign finance reports within the required time frame will result in the assessment of a \$10 a day late fee. and \$10 per day thereafter for candidates. All other committees, \$10 per day.
- The 8-Day Before Election Report is assessed at \$100 per day for the first 8 days



i July Quarterly Report Due July 15th: All committees must file.

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NEW LEGISLATION

Lobbying 105.455: With limited exceptions, members of the general assembly and statewide office holders shall not serve, act or register as a lobbyist until six months after the expiration of any term of office for which such person was elected or appointed. Any person holding office requiring appointment by the Governor and confirmation by the Senate shall not serve, act, or register as a lobbyist until six months after such person leaves office.

Lobbying 105.465: Any person who registers as a lobbyist and also has a candidate committee must dissolve the candidate committee and disburse all committee funds by: Returning a contribution to the person or entity making the contribution, donating to a 501(c)(3) nonprofit entity, or transferring funds to a political party committee.

New In 2017: Campaign Finance

All committees, except campaign committees for local ballot measures, will be required to:

- Register and electronically file reports with the MEC.
- Pay any late fees for the late filing of reports.

Find more information
[HERE.](#)

CAMPAIGN FINANCE DISCLOSURE

In addition to the October Quarterly Report (due Oct 17th), the following reports may need to be [filed](#) for the Nov 8th General Election:

- **8 Day Before Election Report** only required if spent money (made contributions or expenditures (whether paid or incurred)) for that election
- **30 Day After Election Report** only required if:
 1. spent money (made contributions or expenditures (whether paid or incurred)) for that election; or,
 2. debt is more than \$1,000; and, if required, must be filed before taking office.

Also, candidates cannot take office until all campaign finance disclosure reports have been filed. If unsuccessful, and have more money on hand than debt, terminate the committee. If more debt than money on hand, can convert to [Debt Service Committee](#) (may only accept contributions to pay off debt, no other activity).

Inside this issue:

New Legislation
New in 2017:
Campaign Finance
Campaign Finance
Disclosure
2017 Election News
Advisory Opinions
Employee Spotlight
Political Subdivisions

ELECTION NEWS

ATTENTION: Officials Accepting Declarations of Candidacy:
Packets for 2017 Elections coming in October

- **Review the packet**
includes instruction letter, 2017 Guide to Ethics Law, PFD forms (AOB >\$1mil) & Notice to Candidate.
- **Review your Candidate Declaration form**
may include wording that candidate has no outstanding campaign finance reports due from prior elections.
- **Remember**, §130.071 RSMo prohibits candidates from taking office until all reports are filed.

! Be sure to discard all old election materials!

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New Advisory Opinions

- **#2016.09.CF.001:** Any person who, on or after August 28, 2016, files an annual lobbyist registration form will be governed by the provisions of Section 130.097.2, RSMo, which prohibits the transferring of funds from committees under the lobbyist's control to any committee controlled by a candidate or public official.
- **#2016.09.CF.002:** A vehicle purchased by a campaign can be used for allowable uses for candidacy and duties of a holder of elective office. Because the vehicle is property of the committee, it is important to comply with all registration and insurance guidelines for committee property, and not personal property. If and when the committee terminates, it will be necessary to provide for and report the appropriate dissolution of committee property.



MEC raises money for charity

MEC staff engaged in a game of Penny Wars to raise money for the Mo State Employees Charitable Campaign. The staff of 22 raised **\$307.16** with a portion going to the winning team's charity of [CASA for Children](#) (Court Appointed Special Advocates for Children), and the remainder going to the [Special Learning Center](#).

MEC Employee Spotlight

Sherry Hoback: Employee of the Quarter

Having served the Commission for 21 years, Sherry is a dedicated employee. In that time, she has assisted all areas of the office. The 2016 election year created an increase in the number of filings for PFD and committees formed. As a result, it has been a very busy year for MEC Business Services. Sherry provided assistance by processing PFD account requests, PFD filings, as well as training a new employee. She did all this while simultaneously fulfilling her own obligations related to lobbyist and campaign finance reporting. Sherry often receives compliments for the quality customer service she provides and is always looking for ways to improve the work we do here at the Commission. Well done, Sherry!



Political Subdivisions

Political subdivisions with an annual operating budget (AOB) over \$1 million will be able to electronically submit their list of required annual Personal Financial Disclosure (PFD) filers to MEC (password information will be sent in November).

Upon logging in to the [Political Subdivision e-File system](#), both last year's annual filers and last year's candidates will be displayed. Carefully review each section, update each filer, and remove those no longer required to file. Reminder: if an annual filer held the position at any time in 2016, that person is still required to file for the time period served.

Each subdivision must notify those people whose names have been submitted. The MEC will also send notice to each filer in January. PFDs are due by May 1, 2017 (earlier if a candidate).

Q & A

Q: Can a campaign finance committee pay legal fees for post-election litigation or recounts?

A: No, §130.034 RSMo, defines allowable uses of Campaign Finance contributions.

For additional information related to payment of legal fees by a committee, refer to [Contribution Uses & Legal Fees](#) flyer and [Advisory Opinions](#) on our website.

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